

FORM PTO-1390 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

828

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/856212

INTERNATIONAL APPLICATION NO.  
PCT/JP99/06477INTERNATIONAL FILING DATE  
November 19, 1999PRIORITY DATE CLAIMED  
November 19, 1998

## TITLE OF INVENTION

PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL AND PRODUCTION DEVICE FOR SINGLE  
CRYSTAL INGOT, AND HEAT TREATING METHOD FOR SILICON SINGLE CRYSTAL WAFER

APPLICANT(S) FOR DO/EO/US

NAKAMURA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☐ Other items or information:

U.S. APPLICATION NO. (IF KNOWN, SEE P. 1) <b>09/8362</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP99/06477</b>	ATTORNEY'S DOCKET NUMBER <b>82821</b>
---	--	--

24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1000.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <p style="text-align: center;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<b>CALCULATIONS PTO USE ONLY</b>  <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;"></td> <td style="width:50%;"></td> </tr> <tr> <td style="text-align: right;"><b>\$860.00</b></td> <td></td> </tr> <tr> <td style="text-align: right;"><b>\$0.00</b></td> <td></td> </tr> </table>				<b>\$860.00</b>		<b>\$0.00</b>	
<b>\$860.00</b>											
<b>\$0.00</b>											
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;"></td> <td style="width:50%;"></td> </tr> <tr> <td style="text-align: right;"><b>\$0.00</b></td> <td></td> </tr> </table>				<b>\$0.00</b>			
<b>\$0.00</b>											
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE								
Total claims	23 - 20 =	3	x \$18.00	<b>\$54.00</b>							
Independent claims	14 - 3 =	11	x \$80.00	<b>\$880.00</b>							
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>							
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1,794.00</b>							
<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$0.00</b>							
<b>SUBTOTAL =</b>				<b>\$1,794.00</b>							
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>							
<b>TOTAL NATIONAL FEE =</b>				<b>\$1,794.00</b>							
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				<b>\$40.00</b>							
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1,834.00</b>							
				Amount to be: refunded	\$						
				charged	\$						

- a. ☒ A check in the amount of **\$1,834.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **23-0920** A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:  <b>Gerald T. Shekleton, Esq.</b> <b>WELSH &amp; KATZ, LTD.</b> 120 S. Riverside Plaza 22nd Floor Chicago, Illinois 60606	_____ SIGNATURE  <b>Gerald T. Shekleton</b> NAME  <b>27,466</b> REGISTRATION NUMBER  5/18/01 DATE
---	---

09/856212

18 Rec'd PCT/PTO 18 MAY 2001

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): NAKAMURA et al.

Docket No.

82821

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL AND PRODUCTION DEVICE FOR SINGLE CRYSTAL INGOT, AND HEAT TREATING METHOD FOR SILICON SINGLE CRYSTAL WAFER**

I hereby certify that the following correspondence:

371 Patent Application

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

---

*(Date)*

Allen Walker

---

*(Typed or Printed Name of Person Mailing Correspondence)*  

---

*(Signature of Person Mailing Correspondence)*

EL769845465US

---

*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

In Re Patent Application

NISHIMURA et al. -- T. Kimura Patent Office  
PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL  
AND PRODUCTION DEVICE FOR SINGLE CRYSTAL INGOT,  
AND HEAT TREATING METHOD FOR SILICON SINGLE CRYSTAL WAFER

PATENT  
82821

GTS/cb  
May 18, 2001

Transmittal Letter: (form PTO-1390 (2pgs.)); Preliminary Amendment; Data  
Sheet; Declaration/Power of Attorney; Assignment w/form PTO-1595; 50 pgs of  
spec., incl. 23 claims & abstract; 16 sheets of Formal Drawings; Copies of:  
form PCT/ISA/210; form PTO-1449; 1st pg. of W000/31325; Check for \$1834.00;  
Postcard and Verified Certification of Express Mailing Date

Assistant Commissioner for Patents

Sir:

09/856212

Please acknowledge receipt of the above-identified documents by applying  
the Patent and Trademark Office receipt hereto and mailing this card.

Respectfully submitted,

WFSH & KATZ LTD

JC19 Rec'd PCT/PTO 18 MAY 2001